



Attorney Docket No. 3910.73

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Susanne Vindekilde

Serial No. : 09/760,196

Filed : January 12, 2001

Title : METHOD AND SYSTEM FOR LISTING OFFERINGS OF  
COMMERCIAL PAPER AND OTHER INTERESTS

Assistant Commissioner for Patents  
Washington, D.C.20231

PRELIMINARY AMENDMENT

Sir:

Please amend the above-identified application as follows and as shown in marked-up copies on the attached sheets, pursuant to 37 CFR 1.121:

In the Specification

Add the following new paragraph at page 1, between lines 7 and 8:

CROSS REFERENCE TO RELATED DOCUMENTS

Priority is herewith claimed under 35 U.S.C. §119(e) from copending Provisional Patent Application No. 60/229,173, filed August 30, 2000, titled "COMPUTERIZED BOND AUCTION".

In the Claims

Please rewrite Claims 1, 2, 3, 13, 19, and 23 – 26 as follows:

1. (Amended) A computer system useful for evaluating trading interests, comprising:

a buyer terminal having an output device for presenting offerings of the interests and an input device for entering one or more investment criteria; and

a computer coupled to the buyer terminal, a data store coupled to the computer including offerings of a plurality of trading parties, the computer including programming for selectively identifying from the data store offerings of the plurality of trading parties responsive to the investment criteria, the computer providing information related to identified offerings responsive to the investment criteria from a plurality of trading parties for presentation together on the output device.

2. (Amended) The computer system as set forth in claim 1, wherein the computer provides to the buyer terminal for presentation on the output device a presentation, in an integrated fashion, of information related to identified offerings of at least two of the plurality of trading parties.

3. (Amended) The computer system as set forth in claim 1, wherein the computer provides to the buyer terminal for presentation on the output device a presentation of information related to identified offerings in a summary view, the summary view including a count of responsive offerings of each trading party presented on the output device.

13. (Amended) In a computer system for trading interests including a plurality of buyer terminals having an output device and an input device, and a central computer linked to the buyer terminal by a communication system, the improvement comprising a data store coupled to the central computer including offerings of a plurality of trading parties, the central computer including programming for selectively identifying from the data store offerings of a plurality of trading parties responsive to at least one investment criterion entered via an input device of a buyer terminal, the central computer transmitting to the buyer terminal for presentation on the output device the information related to identified offerings of each trading party having an offering responsive to at least one said investment criterion for presentation together on a same page view.

19. (Amended) The method as set forth in claim 13, comprising the step of a trading party granting authority to a buyer to execute offerings of that trading party.

23. (Amended) A method for electronically trading interests, comprising:  
entering one or more investment criteria;  
identifying offerings of the interests from a plurality of trading parties responsive to the investment criteria;  
presenting, in an integrated fashion, information related to identified offerings of the plurality of trading parties; and  
selecting an offering for which information is presented for the purpose of trading that offering.

24. (Amended) In a computer system for trading interests including a plurality of buyer terminals, a plurality of dealer and/or issuer terminals and a central computer linked to the buyer terminals and the dealer and/or issuer terminals by a communications system, the improvement comprising memory accessible by the central computer in which is stored information of specific dealers or issuers authorizing presentation of offerings information of the specific dealer or issuer on a specific buyer terminal, the computer including programming which provides offerings information only to authorized buyer terminals.

25. (Amended) In a computer system for trading interests including a plurality of buyer terminals, a plurality of dealer and/or issuer terminals and a central computer linked to the buyer terminals and the dealer and/or issuer terminals by a communications system, the improvement comprising memory accessible by the central computer in which is stored information of specific dealers or issuers authorizing presentation of offerings information of the specific dealer or issuer on a specific buyer terminal, and information of specific dealers or users authorizing the specific buyer terminal to execute a trade on an offering about which information is authorized to be presented on that buyer terminal, the computer including programming which provides

offerings information only to authorized buyer terminals for execution only by authorized buyer terminals.

26. (Amended) In a computer system for trading interests including a plurality of buyer terminals, a plurality of dealer and/or issuer terminals and a central computer linked to the buyer terminals and the dealer and/or issuer terminals by a communications system, the improvement comprising memory accessible by the central computer in which is stored information of buyers authorizing presentation of offerings information of specific dealers or issuers on a respective buyer terminal, the computer including programming which provides offerings information only of authorized dealers or issuers to the respective buyer terminal.

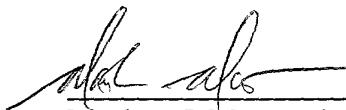
#### REMARKS

This amendment places the Preliminary Amendment signed 26 January 2001, and referenced in the Declaration of the inventor executed 26 January 2001 filed herewith, in compliance with the Patent Rules, including particularly 37 CFR 1.121, and corrects a typographical error in Claim 13 noted during the preparation of this paper. The amendment is otherwise identical to the Preliminary Amendment referenced by the Declaration. A copy of that Preliminary Amendment is attached hereto.

I hereby certify that this paper, together with any paper referred to as enclosed or attached, is being deposited this date with the U.S. Postal Service as First Class Mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Please charge any required fees to deposit account 02-4270.

Respectfully submitted,



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Dated: 8 May 2001

Matthew J. Marquardt  
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Serial No. 09/760,196  
Atty Docket No. 3524/12

**REWRITTEN PARAGRAPH PURSUANT TO 37 CFR 1.121(b), SHOWING  
IN MARKED-UP FORM NEW PARAGRAPH BEGINNING AT PAGE 1 BETWEEN LINES 7 AND 8**

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**--CROSS REFERENCE TO RELATED DOCUMENTS**

Priority is herewith claimed under 35 U.S.C. §119(e) from copending Provisional Patent Application No. 60/229,173, filed August 30, 2000, titled "COMPUTERIZED BOND AUCTION".--

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)  
SHOWING CLAIM 1 IN MARKED-UP FORM**

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1. (Amended) A computer system useful for evaluating trading interests, comprising:

a buyer terminal having an output device for presenting offerings of the interests and an input device for entering one or more investment criteria; and

a computer coupled to the buyer terminal, a data store coupled to the computer including offerings of a plurality of trading parties, the computer including programming for selectively identifying from the data store offerings of the plurality of trading parties responsive to the investment criteria, the computer providing information related to identified offerings responsive to the investment criteria [of all] from a plurality of trading parties for presentation together on the output device.

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)  
SHOWING CLAIM 2 IN MARKED-UP FORM**

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2. (Amended) The computer system as set forth in claim 1, wherein the computer provides to the buyer terminal for presentation on the output device a presentation, in an integrated fashion, of information related to identified offerings of at least two of the plurality of trading parties.

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)  
SHOWING CLAIM 3 IN MARKED-UP FORM**

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3. (Amended) The computer system as set forth in claim 1, wherein the computer provides to the buyer terminal for presentation on the output device a presentation of information related to identified offerings in a summary view, the summary view including a count of responsive offerings of each [of the plurality of] trading [parties] party presented on the output device.

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)  
SHOWING CLAIM 13 IN MARKED-UP FORM**

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13. (Amended) In a computer system for trading interests including a plurality of buyer terminals having an output device and an input device, and a central computer linked to the buyer terminal by a communication system, the improvement comprising a data store coupled to the central computer including offerings of a plurality of trading parties, the central computer including programming for selectively identifying from the data store offerings of a plurality of trading parties responsive to at least one investment criterion entered via an input device of a buyer terminal, the central computer transmitting to the buyer terminal for presentation on the output device the information related to identified offerings[, including a count of identified offerings] of each [of] trading party having an offering responsive to at least one said investment criterion for presentation together on a same page view.

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)  
SHOWING CLAIM 19 IN MARKED-UP FORM**

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19. (Amended) The method as set forth in claim 13, [in combination with a method for trading offerings,] comprising the step of a trading party granting authority to a buyer to execute offerings of that trading party.

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)**  
**SHOWING CLAIM 23 IN MARKED-UP FORM**

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23. (Amended) A method for electronically trading interests, comprising:

    entering one or more investment criteria;

    identifying offerings of the interests from a plurality of trading parties responsive to the investment criteria;

    presenting, in an integrated fashion, information related to identified offerings of the plurality of trading parties; and

    selecting an offering for which information is presented for the purpose of trading that offering; and

    completing a trading order for the selected offering].

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)  
SHOWING CLAIM 24 IN MARKED-UP FORM**

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24. (Amended) In a computer system for trading [short term] interests including a plurality of buyer terminals, a plurality of dealer and/or issuer terminals and a central computer linked to the buyer terminals and the dealer and/or issuer terminals by a communications system, the improvement comprising memory accessible by the central computer in which is stored information of specific dealers or issuers authorizing presentation of offerings information of the specific dealer or issuer on a specific buyer terminal, the computer including programming which provides offerings information only to authorized buyer terminals.

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)**  
**SHOWING CLAIM 25 IN MARKED-UP FORM**

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25. (Amended) In a computer system for trading [short term] interests including a plurality of buyer terminals, a plurality of dealer and/or issuer terminals and a central computer linked to the buyer terminals and the dealer and/or issuer terminals by a communications system, the improvement comprising memory accessible by the central computer in which is stored information of specific dealers or issuers authorizing presentation of offerings information of the specific dealer or issuer on a specific buyer terminal, and information of specific dealers or users authorizing the specific buyer terminal to execute a trade on an offering about which information is authorized to be presented on that buyer terminal, the computer including programming which provides offerings information only to authorized buyer terminals for execution [and which executes trades requested] only by authorized buyer terminals.

**REWRITTEN CLAIM PURSUANT TO 37 CFR 1.121(b)  
SHOWING CLAIM 26 IN MARKED-UP FORM**

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26. (Amended) In a computer system for trading [short term] interests including a plurality of buyer terminals, a plurality of dealer and/or issuer terminals and a central computer linked to the buyer terminals and the dealer and/or issuer terminals by a communications system, the improvement comprising memory accessible by the central computer in which is stored information of buyers authorizing presentation of offerings information of specific dealers or issuers on a respective buyer terminal, the computer including programming which provides offerings information only of authorized dealers or issuers to the respective buyer terminal.



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**PRELIMINARY AMENDMENT**

Sir:

Please amend the above-identified application as follows.

**In the Specification**

Insert the following on page 1, between lines 7 and 8:

--CROSS REFERENCE TO RELATED DOCUMENTS

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**In the Claims**

1. (Amended) A computer system useful for evaluating trading interests, comprising:

a buyer terminal having an output device for presenting offerings of the interests and an input device for entering one or more investment criteria; and

a computer coupled to the buyer terminal, a data store coupled to the computer including offerings of a plurality of trading parties, the computer including programming for selectively identifying from the data store offerings of the plurality of trading parties responsive to the investment criteria, the computer providing information related to identified offerings responsive to the investment criteria [of all] from a plurality of trading parties for presentation together on the output device.

2. (Amended) The computer system as set forth in claim 1, wherein the computer provides to the buyer terminal for presentation on the output device a presentation, in an integrated fashion, of information related to identified offerings of at least two of the plurality of trading parties.

3. (Amended) The computer system as set forth in claim 1, wherein the computer provides to the buyer terminal for presentation on the output device a presentation of information related to identified offerings in a summary view, the summary view including a count of responsive offerings of each [of the plurality of] trading [parties] party presented on the output device.

13. (Amended) In a computer system for trading interests including a plurality of buyer terminals having an output device and an input device, and a central computer linked to the buyer terminal by a communication system, the improvement comprising a data store coupled to the central computer including offerings of a plurality of trading parties, the central computer including programming for selectively identifying from the data store offerings of a plurality of trading parties responsive to at least one investment criterion entered via an input device of a buyer terminal, the central computer transmitting to the buyer terminal for presentation on the output device the information

related to identified offerings[, including a count of identified offerings] of each of trading party having an offering responsive to at least one said investment criterion for presentation together on a same page view.

19. (Amended) The method as set forth in claim 13, [in combination with a method for trading offerings,] comprising the step of a trading party granting authority to a buyer to execute offerings of that trading party.

23. (Amended) A method for electronically trading interests, comprising:  
entering one or more investment criteria;  
identifying offerings of the interests from a plurality of trading parties responsive to the investment criteria;  
presenting, in an integrated fashion, information related to identified offerings of the plurality of trading parties; and  
selecting an offering for which information is presented for the purpose of trading that offering[; and  
completing a trading order for the selected offering].

Claim 24, line 1, delete "short term".

25. (Amended) In a computer system for trading [short term] interests including a plurality of buyer terminals, a plurality of dealer and/or issuer terminals and a central computer linked to the buyer terminals and the dealer and/or issuer terminals by a communications system, the improvement comprising memory accessible by the central computer in which is stored information of specific dealers or issuers authorizing presentation of offerings information of the specific dealer or issuer on a specific buyer terminal, and information of specific dealers or users authorizing the specific buyer

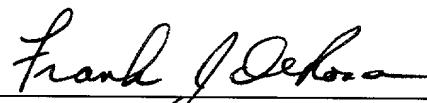
terminal to execute a trade on an offering about which information is authorized to be presented on that buyer terminal, the computer including programming which provides offerings information only to authorized buyer terminals for execution [and which executes trades requested] only by authorized buyer terminals.

Claim 26, line 1, delete "short term".

**REMARKS**

Please charge any required fees to deposit account 02-4270.

Respectfully submitted,



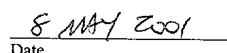
Frank J. DeRosa

Dated: January 26, 2001

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Date